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**GROUP 3600**

*36124*

**PATENT**  
**5226-00600**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 09/460,045  
Filed: December 13, 1999  
Confirmation No.: 1941  
Inventor(s):  
Nesmith et al.

§ Examiner: E. Colbert  
§ Art Unit: 3624  
§ Atty. Dkt. No: 5226-00600  
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Title: COMPUTERIZED  
METHOD AND SYSTEM  
FOR TRADING OF  
SECURITIES

CERTIFICATE OF MAILING  
UNDER 37 C.F.R. §1.8  
DATE OF DEPOSIT: *February 6, 2004*  
I hereby certify that this correspondence is being deposited with  
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Commissioner for Patents  
Alexandria, VA 22313-1450  
*B. Gail Ballard*  
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*#13*  
*aw*  
*3/26/04*

**REQUEST FOR WITHDRAWAL OF HOLDING OF ABANDONMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Applicant hereby requests withdrawal of the holding of abandonment of the above-referenced application.

On December 23, 2003, a Notice of Abandonment for the above-referenced application was sent to Applicants' undersigned attorney. The Notice of Abandonment indicated that the above-referenced application had gone abandoned due to failure to timely or properly reply to a an Office Action mailed on October 14, 2003.

Applicant submits that an Amendment and Response to the Office Action mailed on October 14, 2003 was mailed on December 12, 2003. See Exhibit A, a copy of the Amendment; Response to Office Action Mailed October 14, 2003. A postcard sent with the response indicates

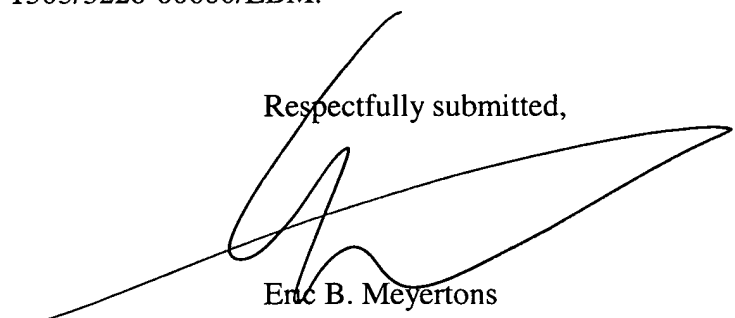
that the USPTO received the Amendment and Response on December 22, 2003. See Exhibit B, a copy of the postcard returned by the USPTO. Applicant requested a one-month extension of time, *see* Exhibit A, page 16, and submitted a Fee Authorization for the one-month extension of time. *See also* Exhibit B, listing items enclosed with amendment and response; and Exhibit C, Fee Authorization.

Applicant respectfully submits that the holding of abandonment was in error. Applicant did respond to the Office Action mailed on October 14, 2003.

Applicant respectfully requests entry of this Request and the Amendment and Response to the Office Action Mailed October 14, 2003 in the application. Applicant also respectfully requests that the Notice of Abandonment be withdrawn.

Applicant believes that no fees are due with the submission of this request. Should any fees be required, please charge those fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account Number 50-1505/5226-00600/EBM.

Respectfully submitted,



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Date: February 6, 2004

# **EXHIBIT A**



**Amendments to the Claims:**

Please cancel claims 154-156 without prejudice.

This listing of claims will replace all prior versions and/or listings of claims in the application:

**Listing of Claims**

1-80. (cancelled)

81. (previously presented) A method for allowing relatively rapid entry of securities orders into a computer system, the method comprising:

receiving input comprising at least one generic security order preference;

storing at least one generic security order preference in a memory; and

automatically using at least one generic security order preference as a default value in response to a user placing an order for at least one security for which a security-specific order preference has not been defined.

82. (previously presented) The method of claim 81, wherein receiving input comprising at least one generic security order preference comprises presenting a generic security order preferences window to the user, wherein the generic security order preferences window comprises one or more user interface elements that allow the user to specify at least one generic security order preference for securities for which a security-specific order preference has not been defined.

83. (previously presented) The method of claim 81, wherein at least one generic security order preference comprises a number of shares to be used as a default if no security-specific default number of shares is defined for a security.
84. (previously presented) The method of claim 81, wherein at least one generic security order preference comprises a dollar amount of a transaction to be used as a default if no security-specific default dollar amount is defined for a security.
85. (previously presented) The method claim 81, wherein at least one generic security order preference comprises a limit price to be used as a default if no security-specific default limit price is defined for a security.
86. (previously presented) The method of claim 81, wherein at least one generic security order preference comprises a trailing stop price to be used as a default if no security-specific default trailing stop price is defined for a security.
87. (previously presented) The method of claim 81, wherein at least one generic security order preference comprises a stop loss price to be used as a default if no security-specific default stop loss price is defined for a security.
88. (previously presented) The method of claim 81, wherein at least one generic security order preference comprises a lot indicator to be used as a default if no security-specific default lot indicator is defined for a security.
89. (previously presented) The method of claim 81, wherein at least one generic security order preference comprises a limit price indicator to be used as a default if no security-specific default limit price indicator is defined for a security.

90. (previously presented) The method of claim 81, further comprising:

presenting an order placement window to the user;

prompting the user to enter a security symbol of a security to be traded;

presenting order preferences received from the user in the order preferences window as default values, wherein if no security-specific order preferences have been received from the user for the security to be traded, then order preferences presented comprise at least one generic order preference.

91. (previously presented) The method of claim 90, further comprising receiving input from the user modifying at least one of the default values to a desired value.

92. (previously presented) The method of claim 90, further comprising submitting an order for execution based on information in the order placement window.

93. (previously presented) The method of claim 90, further comprising sending an acknowledgement to the user upon execution of the order.

94. (previously presented) The method of claim 81, wherein receiving input comprising at least one generic security order preference comprises providing a web page to the user, wherein the web page comprises controls that allow the user to enter at least one generic security order preference.

95. (previously presented) The method of claim 81, further comprising:

receiving input comprising at least one security-specific order preference for at least one security;

storing at least one security-specific order preference in a memory; and

automatically using at least one security-specific order as a default value in response to the user placing an order for at least one security for which at least one security-specific order preference has been stored.

96. (previously presented) The method of claim 95, wherein receiving input comprising at least one security-specific order preference for at least one security comprises presenting a security-specific order preferences window to the user, wherein the security-specific order preferences window comprises one or more user interface elements that allow the user to specify at least one security-specific order preference for at least one security.
97. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default number of shares of at least one security to be traded during a transaction.
98. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default dollar amount of at least one security to be traded during a transaction.
99. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default limit price for at least one security.
100. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default trailing stop price for at least one security.



101. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default stop loss price for at least one security.
102. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default lot indicator to be used for transactions of at least one security.
103. (previously presented) The method of claim 95, wherein at least one security-specific order preference for at least one security comprises a default limit price indicator for at least one security.
104. (previously presented) The method of claim 95, further comprising:  
  
presenting an order placement window to the user, wherein the order placement window comprises one or more user interface elements that allow the user to override one or more of the security-specific order preferences.
105. (previously presented) A system comprising:  
  
at least one computer system coupled to a network;  
  
at least one memory couple to the computer system;  
  
wherein at least one memory comprises program instructions, wherein the program instructions are executable by at least one computer system to:  
  
receive input comprising at least one generic security order preference;  
  
store at least one generic security order preference in at least one memory; and

automatically use at least one generic security order preference as a default value in response to a user placing an order for at least one security for which a security-specific order preference has not been defined.

106. (previously presented) The system of claim 105, wherein receiving input comprising at least one generic security order preference comprises presenting a generic security order preferences window to the user, wherein the generic security order preferences window comprises one or more user interface elements that allow the user to specify at least one generic security order preference for securities for which a security-specific order preference has not been defined.
107. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a number of shares to be used as a default if no security-specific default number of shares is defined for a security.
108. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a dollar amount of a transaction to be used as a default if no security-specific default dollar amount is defined for a security.
109. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a limit price to be used as a default if no security-specific default limit price is defined for a security.
110. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a trailing stop price to be used as a default if no security-specific default trailing stop price is defined for a security.

111. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a stop loss price to be used as a default if no security-specific default stop loss price is defined for a security.
112. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a lot indicator to be used as a default if no security-specific default lot indicator is defined for a security.
113. (previously presented) The system of claim 105, wherein at least one generic security order preference comprises a limit price indicator to be used as a default if no security-specific default limit price indicator is defined for a security.
114. (previously presented) The system of claim 105, wherein the computer network comprises the Internet.
115. (previously presented) The system of claim 105, wherein the program instructions are further executable to:  
  
present an order placement window to the user;  
  
prompt the user to enter a security symbol of a security to be traded;  
  
present order preferences received from the user in the order preferences window as default values, wherein if no security-specific order preferences have been received from the user for the security to be traded, then order preferences presented comprises at least one generic order preference.
116. (previously presented) The system of claim 115, wherein the program instructions are further executable to receive input from the user modifying at least one of the default values to a desired value.

117. (previously presented) The system of claim 115, wherein the program instructions are further executable to submit an order for execution based on information in the order placement window.
118. (previously presented) The system of claim 115, wherein the program instructions are further executable to send an acknowledgement to the user upon execution of the order.
119. (previously presented) The system of claim 105, wherein receiving input comprising at least one generic security order preference comprises providing a web page to the user, wherein the web page comprises controls that allow the user to enter at least one generic security order preference.
120. (previously presented) The system of claim 105, wherein the program instructions are further executable to:
- receive input comprising at least one security-specific order preference for at least one security;
- store at least one security-specific order preference in at least one memory; and
- automatically use at least one security-specific order as a default value in response to the user placing an order for at least one security for which at least one security-specific order preference has been stored.
121. (previously presented) The system of claim 120, wherein receiving input comprising at least one security-specific order preference for at least one security comprises presenting a security-specific order preferences window to the user, wherein the security-specific order preferences window comprises one or more user interface elements that allow the user to specify at least one security-specific order preference for at least one security.

122. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default number of shares of at least one security to be traded during a transaction.
123. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default dollar amount of at least one security to be traded during a transaction.
124. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default limit price for at least one security.
125. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default trailing stop price for at least one security.
126. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default stop loss price for at least one security.
127. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default lot indicator to be used for transactions of at least one security.
128. (previously presented) The system of claim 120, wherein at least one security-specific order preference for at least one security comprises a default limit price indicator for at least one security.

129. (previously presented) The system of claim 120, wherein the program instructions are further executable to:
- present an order placement window to the user, wherein the order placement window comprises one or more user interface elements that allow the user to override one or more of the security-specific order preferences.
130. (previously presented) A carrier medium comprising program instructions, wherein the program instructions are executable to implement:
- receiving input comprising at least one generic security order preference;
- storing at least one generic security order preference in a memory; and
- automatically using at least one generic security order preference as a default value in response to a user placing an order for at least one security for which a security-specific order preference has not been defined. (or a portion has not been defined?)
131. (previously presented) The carrier medium of claim 130, wherein receiving input comprising at least one generic security order preference comprises presenting a generic security order preferences window to the user, wherein the generic security order preferences window comprises one or more user interface elements that allow the user to specify at least one generic security order preference for securities for which a security-specific order preference has not been defined.
132. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a number of shares to be used as a default if no security-specific default number of shares is defined for a security.

133. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a dollar amount of a transaction to be used as a default if no security-specific default dollar amount is defined for a security.
134. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a limit price to be used as a default if no security-specific default limit price is defined for a security.
135. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a trailing stop price to be used as a default if no security-specific default trailing stop price is defined for a security.
136. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a stop loss price to be used as a default if no security-specific default stop loss price is defined for a security.
137. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a lot indicator to be used as a default if no security-specific default lot indicator is defined for a security.
138. (previously presented) The carrier medium of claim 130, wherein at least one generic security order preference comprises a limit price indicator to be used as a default if no security-specific default limit price indicator is defined for a security.
139. (previously presented) The carrier medium of claim 130, wherein the program instructions are further executable to implement:  
  
presenting an order placement window to the user;  
  
prompting the user to enter a security symbol of a security to be traded;

presenting order preferences received from the user in the order

preferences window as default values, wherein if no security-specific order preferences have been received from the user for the security to be traded, then order preferences presented comprises at least one generic order preference.

140. (previously presented) The carrier medium of claim 139, wherein the program instructions are further executable to implement receiving input from the user modifying at least one of the default values to a desired value.
141. (previously presented) The carrier medium of claim 139, wherein the program instructions are further executable to implement submitting an order for execution based on information in the order placement window.
142. (previously presented) The carrier medium of claim 139, wherein the program instructions are further executable to implement sending an acknowledgement to the user upon execution of the order.
143. (previously presented) The carrier medium of claim 130, wherein receiving input comprising at least one generic security order preference comprises providing a web page to the user, wherein the web page comprises controls that allow the user to enter at least one generic security order preference.
144. (previously presented) The carrier medium of claim 130, wherein the program instructions are further executable to implement:

receiving input comprising at least one security-specific order preference for at least one security;



storing at least one security-specific order preference in a memory; and

automatically using at least one security-specific order as a default value in response to the user placing an order for at least one security for which at least one security-specific order preference has been stored.

145. (previously presented) The carrier medium of claim 144, wherein receiving input comprising at least one security-specific order preference for at least one security comprises presenting a security-specific order preferences window to the user, wherein the security-specific order preferences window comprises one or more user interface elements that allow the user to specify at least one security-specific order preference for at least one security.
146. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default number of shares of at least one security to be traded during a transaction.
147. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default dollar amount of at least one security to be traded during a transaction.
148. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default limit price for at least one security.
149. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default trailing stop price for at least one security.

150. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default stop loss price for at least one security.
151. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default lot indicator to be used for transactions of at least one security.
152. (previously presented) The carrier medium of claim 144, wherein at least one security-specific order preference for at least one security comprises a default limit price indicator for at least one security.
153. (previously presented) The carrier medium of claim 144, wherein the program instructions are further executable to implement:  
  
presenting an order placement window to the user, wherein the order placement window comprises one or more user interface elements that allow the user to override one or more of the security-specific order preferences.
- 154-156. (cancelled)

**Remarks/Arguments**

**A. Pending Claims**

Claims 81-153 are pending. Claims 154-156 have been cancelled.

**B. Election of Claims**

Applicant hereby elects the claims of Group I, namely claims 81-153 drawn to a production system, without traverse. Applicant reserves the right to file a divisional application or applications to non-elected subject matter.

**C. Additional Comments**

A fee authorization for a one-month extension of time fee is enclosed. If any additional extension of time is required, Applicant hereby requests the appropriate extension of time. If any fees have been omitted or if any additional fees are required, please charge those fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account Number 50-1505/5226-00600/EBM

Respectfully submitted,



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Patent Agent for Applicant

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Date: 12/12/03

## **EXHIBIT B**



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GROUP 3600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Nesmith et al.  
Serial No.: 09/460,045  
Filing Date: 12/13/99  
Title: COMPUTERIZED METHOD AND SYSTEM  
FOR TRADING OF SECURITIES  
Atty. Dkt No.: 5226-00600



The date stamp of the mail room of the U.S. Patent and Trademark Office hereon will acknowledge receipt of the attached: 1) Amendment; Response to Office Action Mailed March 27, 2003 (16 pages); 2) Fee authorization form in the amount of \$110.00; and 3) A Return Postcard.

EBM:jj

Via First Class Mail

Date: December 12, 2003



Sonie Nasabee  
Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C.  
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# **EXHIBIT C**



Inventors: Nesmith et al.  
Appl. Ser. No.: 09/460,045  
Atty. Dkt. No.: 5226-00600

The Commissioner is also authorized to charge any additional extension fee or other fees which may be necessary to the same account number.

Respectfully submitted,



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Date: 12/12/03